

# **Rosewood Energy, LLC; The Treadwell 3-D Prospect; The Nettie Murl Cade 3-D / Horizontal Re-Entry; Clement I. Ejedawe; Ernie Tappin, and their representatives or agents**

## **Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act**

Date: April 15, 2004

Respondents: Rosewood Energy, LLC; The Treadwell 3-D Prospect; The Nettie Murl Cade 3-D / Horizontal Re-Entry; Clement I. Ejedawe; Ernie Tappin, and their representatives or agents

Respondent Tappin allegedly made a cold call to a Kansas resident and eventually sold him \$60,000 worth of units in The Treadwell 3-D Prospect and in Nettie Murl. Neither Treadwell nor Nettie Murl is registered as a security in the State of Kansas. Neither Rosewood nor Tappin is registered as a broker-dealer or agent.

## **Order to Impose Sanctions**

Date: October 4, 2004

Respondents: Rosewood Energy, LLC; The Treadwell 3-D Prospect; The Nettie Murl Cade 3-D / Horizontal Re-Entry; Clement I. Ejedawe; Ernie Tappin, and their representatives or agents

Allegations: Offer or sale of an unregistered security, unregistered broker-dealer

The Commissioner issued an Order to Impose Administrative Sanctions Under the Kansas Securities Act as respondents failed to file a request for hearing within 33 days after service of the Notice of Intent to Invoke Administrative sanctions including extensions. Terms of the Order are: Respondents and their officers, agents, servants, employees, and any person in concert or in participation with them who receives actual notice, were ordered to cease and desist from engaging in any acts or practices which constitute violations of the Kansas Securities Act. Clement I. Ejedawe and Ernie Tappin were barred from association with any broker-dealer or investment adviser registered in the state of Kansas. Rosewood Energy, LLC, The Treadwell 3-D Prospect, The Nettie Murl Cade 3-D/Horizontal Re-Entry, Clement I. Ejedawe, and Ernie Tappin were fined the amount of \$5,000 each.

**Notice to Investors:** If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.